# \* ATENT COOPERATION TREATY

PCT  NOTIFICATION OF ELECTION  (PCT Rule 61.2)  Date of mailing: 24 February 2000 (24.02.00)  International application No.:	Assistant Commissioner for Patents United States Patent and Trademark Office Box PCT Washington, D.C.20231 ÉTATS-UNIS D'AMÉRIQUE in its capacity as elected Office
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International application No.:	
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Applicant: LIDÉN, Fredrik et al	
The designated Office is hereby notified of its election made  X in the demand filed with the International preliminary	Examining Authority on:
in a notice effecting later election filed with the Intern	
2. The election X was was not	
made before the expiration of 19 months from the priority de Rule 32.2(b).	ate or, where Rule 32 applies, within the time limit under

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# PATENT COOPERATION TREATY

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**PCT** 

09/762996

# INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference P000723PC	FOR FURTHER ACTION	See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)					
International application No.	International filing date (day/month	/year) Priority date (day/month/year)					
PCT/EP99/05630	03/08/1999	14/08/1998					
International Patent Classification (IPC) or national classification and IPC H04B10/14							
Applicant TELEFONAKTIEBOLAGET L.M. EF	RICSSON ET AL						
This international preliminary exam     and is transmitted to the applicant a		by this International Preliminary Examining Authority					
2. This REPORT consists of a total of	5 sheets, including this cover sh	eet.					
been amended and are the bas	d by ANNEXES, i.e. sheets of the sis for this report and/or sheets of 07 of the Administrative Instruction	e description, claims and/or drawings which have ontaining rectifications made before this Authority ons under the PCT).					
These annexes consist of a total of	10 sheets.						
3. This report contains indications relating to the following items:							
Date of submission of the demand	Date of c	ompletion of this report					
17/08/1999							
Name and mailing address of the international preliminary examining authority:	al Authorize	od officer					
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# INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No. PCT/EP99/05630

l.	Basis	of	the	report
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1.	resp the	This report has been drawn on the basis of (substitute sheets which have been fumished to the receiving Office of the response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to the report since they do not contain amendments (Rules 70.16 and 70.17).):  Description, pages:					
	1,2,	5-16	as originally filed				
	3,4,	4a	as received on	01/09/2000	with letter of	01/09/2000	
	Cla	ims, No.:					
	1-23	3	as received on	01/09/2000	with letter of	01/09/2000	
	Dra	wings, sheets:					
	1/4-	4/4	as originally filed				
2.	With regard to the language, all the elements marked above were available or fumished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.						
	These elements were available or furnished to this Authority in the following language: , which is:						
	the language of a translation furnished for the purposes of the international search (under Rule 23.1(b)).						
	☐ the language of publication of the international application (under Rule 48.3(b)).						
	the language of a translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).						
3.	With regard to any <b>nucleotide and/or amino acid sequence</b> disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:						
	□ contained in the international application in written form.						
	☐ filed together with the international application in computer readable form.						
		furnished subsequ	ently to this Authority in written t	iorm.	· · · ·		
	☐ furnished subsequently to this Authority in computer readable form.						
			t the subsequently furnished wri oplication as filed has been furni		e listing does not go be	eyond the disclosure in	
		The statement that listing has been ful	t the information recorded in cor rnished.	nputer readab	le form is identical to t	the written sequence	

4. The amendments have resulted in the cancellation of:

# INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No. PCT/EP99/05630

		the description,	pages:	
	×	the claims,	Nos.:	24
		the drawings,	sheets:	
5.				if (some of) the amendments had not been made, since they have been ure as filed (Rule 70.2(c)):
		(Any replacement shi report.)	eet containing s	uch amendments must be referred to under item 1 and annexed to this
6.		itional observations, it separate sheet	necessary:	

- V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- 1. Statement

Novelty (N)

Yes:

Yes:

Claims 1-23

No:

Claims

Inventive step (IS)

Yes: C

Claims 1-23

No: Claims

Industrial applicability (IA)

Claims 1-23

No: Claims

2. Citations and explanations see separate sheet

## VII. Certain defects in the international application

The following defects in the form or contents of the international application have been noted: see separate sheet

#### VIII. Certain observations on the international application

The following observations on the clarity of the claims, description, and drawings or on the question whether the claims are fully supported by the description, are made: see separate sheet

Reference is made to the following documents:

D1: PATENT ABSTRACTS OF JAPAN vol. 097, no. 008, 29 August 1997

& JP 09 093223 A (CANON INC), 4 April 1997 (1997-04-04)

D2: US-A-5 673 129

D3: US-A-5 793 910

Document D2 which is indicated on page 2 of the present description was not cited in the international search report.

# Re Item I

Independent claims 1 and 15 are based on original claims 1, 4, 16 and claims 16 and 4.

# Re Item V

Reasoned statement with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1. Novelty:

> The document D1 is regarded as being the closest prior art to the subject-matter of independent claims 1 and 15, and discloses a method/an arrangement for controlling the wavelength of channels of an optical WDM link with a wavelength selective element through a parameter which influences the selected wavelengths from which the subject-matter of claim 1 essentially differs in:

- (i) the calculation of the average value of the parameters for each channel at which the output power is a maximum;
- (ii) the utilisation of the means value as an indicator of wavelength drift in the optical link and to adjust/correct a deviation between the launched and selected wavelengths at the wavelength selective element and/or the optical transmission means.

The subject-matter of claim 15 differs from the disclosure of D1 essentially in corresponding features of the control means.

Therefore the subject-matter of claims 1 and 15 is novel (Article 33(2) PCT).

# INTERNATIONAL PRELIMINARY International application No. PCT/EP99/05630 EXAMINATION REPORT - SEPARATE SHEET

# 2. Inventive step:

- a. The problem to be solved by the present invention may be considered as the provision of a reliable and simple arrangement/method for adjusting a filter receiving multiple channel wavelengths.
- b. Document D1 discloses the determination of the one parameter each for two channels at which the respective output power is a maximum. Document D2 discloses the determination of different parameters for different wavelengths using separate components. These documents do not address the problem of adjusting a filter for multiple channel wavelengths.

In document D3, which addresses a similar problem, a different approach is chosen (using a signal at a reference frequency, cf. especially column 3, lines 35-59 and figs. 4 and 6). Therefore a modification of the teaching of D1 to include the combination of the above features (i) and (ii) is not considered obvious. Hence the solution to the above problem proposed in **claims 1 and 15** of the present application is considered as involving an inventive step (Article 33(3) PCT).

c. Claims 2-14 and 16-23 are dependent on claims 1 and 15 and as such also meet the requirements of the PCT with respect to novelty and inventive step.

# Re Item VII

# Certain defects in the international application

Although **claim 1** is drafted in the two-part form, the feature related to the determination of a channel centre value of the parameter for each channel

is incorrectly placed in the characterising portion, as it is disclosed in document D1 in combination with the features placed in the preamble (Rule 6.3(b) PCT).

### Re Item VIII

# Certain observations on the international application

The references of claims 5-14 and 16-23 to some of the previous claims and/or to themselves are give rise to lack of clarity of these claims.

# ART 34 AMDT

of the laser temperature. However, the provision of a 5 stable temperature environment for the Bragg grating without recourse to adjustment on the basis variations in the reflected wavelength is difficult to implement and is dependent on the reliability normally electrical heating and cooling elements. 10

It is also known from JP 09 162070 to tune a filter in a receiver to two separate signal wavelengths. The filter is adjusted to receive different wavelengths by a control voltage, and a step algorithm is employed to determine the voltage at which the maximum signal is obtained for each wavelength. However, this reference is silent on how to tune the filter optimally to receive both wavelengths.

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In the light of the disadvantages associated with the prior art it is an object of the present invention to provide an arrangement and procedure for controlling the wavelengths of channels in an optical WDM system which is reliable, simple and inexpensive in its implementation.

# SUMMARY OF THE INVENTION

To control the wavelengths of channels transmitted by one or more optical sources and received by a wavelength selective element, the present invention proposes a method wherein at the receiving end a value of a parameter that influences the wavelengths selected by the wavelength selective element is determined relative to a nominal starting value that enables the best reception of the channel. The mean parameter value for each channel is then determined and this mean value is utilised to ascertain whether the wavelengths used in the link have drifted. The parameter value associated with the channel centre wavelength is accurately located

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by determining two parameter values at which the output drops by a predetermined amount, and calculating the central value. Preferably the parameter values are difference values relative to thea nominal starting By determining the proportion value. channels demonstrating wavelength drift, both the source and magnitude of the wavelength drift can be ascertained and corrected either by adjusting the parameter value of the wavelength selective element or by adjusting the wavelength launched by one or more lasers. A wavelength control arrangement for use in an optical WDM link according to the invention includes control means that communicate with a parameter regulator of the wavelength selective element adapted to regulate a parameter influencing the wavelengths selected by the element and with means that monitor the output power of the wavelength selective element. The control means determine a parameter mean value corresponding to the average of parameter values at which the output power for each channel is a maximum. The control means are

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furthermore coupled to a regulator adapted to regulate a wavelength influencing parameter of a laser and laser drive circuit and are adapted to determine the magnitude and source of a wavelength error and subsequently control one or both of the wavelengths launched by the lasers and the wavelengths received by the wavelength selective element

Advantageously, the method and arrangement according to the present invention permit wavelength drift to be both detected and corrected whether caused by one or more malfunctioning lasers or by the wavelength selective element when the parameter utilised is temperature, wavelength drift at the wavelength selective element could, for example, result from the deterioration of associated electrical temperature regulating elements. Furthermore, the method obviates the need for permanent wavelength references at the optical sources or lasers, but nevertheless permits wavelength drift determined and corrected with high precision. control measurement can be performed entirely at the receiving end of the link without impeding or degrading normal traffic flow. A further advantage of the method and

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# CLAIMS

- Method for controlling the wavelength of a plurality
   of channels launched by optical transmission means and received by a wavelength selective element in an optical WDM link, the method including:
- noting a starting value of a parameter influencing

  the wavelengths selected by said wavelength selective
  element, characterised by the steps of:
- for each channel, determining a channel centre value (409) of said parameter corresponding to a value of said parameter relative to said starting value at which the output power of said channel is a maximum,
  - calculating a mean value (501) corresponding to an average of said channel centre values for all channels, and
  - utilising said mean value (502) as an indicator of wavelength drift in said optical link and to adjust a deviation between said launched wavelengths and wavelengths selected by said wavelength selective element and to correct said wavelength deviation at at least one of said wavelength selective element and said optical transmission means.
- 35 2. Method as claimed in claim 1, wherein determining said channel centre values includes
- for each channel, determining a first parameter value (402-404) of said wavelength selective element relative to said starting parameter value at which the power of said channel output from said wavelength selective element falls below a predetermined level,

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for each channel, determining a second parameter value (406-408) of said wavelength selective optical element relative to said starting value at which the power of said channel output from said wavelength selective optical element falls below said predetermined level, and

for each channel, determining a channel mean value (409) corresponding to the average of said first and second parameter values.

- 3. A method as claimed in claim 2, wherein said first and second parameter values are difference values relative to said starting value.
- A Method as claimed in claim 1, including utilising said channel centre values to determine the proportion of channels which manifest a drift in wavelength relative to the total number of channels, and
- utilising said mean value (MD) to adjust the parameter influencing the wavelengths selected by said wavelength selective element when said proportion exceeds a predetermined amount.
  - 5. A method as claimed in any one of claims 1 to 5, including:
    - for each of at least a predetermined number of channels
- comparing said channel centre value with a

  predetermined channel variance value (503) to obtain
  a difference value indicative of a wavelength shift

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- 5 in said channel.
  - 6. A method as claimed in claim 6, including determining the proportion of said channels which demonstrate a wavelength drift by summing the difference values (504) that deviate from zero for at least a predetermined number of channels.
  - 7. A method as claimed in claim 6 or 7, including setting said predetermined channel variance value as a difference between a value of said parameter of said wavelength selective element at which the output power of said channel having a predetermined nominal channel wavelength is optimised and a value of said parameter of said wavelength selective element at which the average output power of all channels having predetermined nominal wavelengths is optimised.
    - 8. A method as claimed in any one of claims 6 to 8, including:

prior to operation of said optical link, setting the wavelengths of the optical transmission sources to predetermined nominal wavelengths,

- setting said wavelength selective element to a nominal parameter value at which the output power of all said channels is optimised,
- for each channel, determining a first value of said parameter of said wavelength selective element relative to said nominal value at which the power of said channel output from said wavelength selective element falls below a predetermined level,
- for each channel, determining a second parameter value of said wavelength selective optical element relative to said nominal value at which the power of

5	said channel output from said wavelength selective
	optical element falls below said predetermined level,

for each channel determining the mean of said first and second parameter values, and

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for each channel, utilising said mean as said predetermined channel variance value (409).

- A method as claimed in one of claims 6 to 9,
   including utilising said difference values to adjust a wavelength influencing parameter of said wavelength selective element.
- 10. A method as claimed in one of claims 6 to 9,

  including for each channel utilising said difference value to correct the wavelength launched by said optical transmission means.
- 11. A method as claimed in any one of claims 2 to 11,
  25 wherein said mean value is a weighted average of said first and second parameter values for all channels.
- 12. A method as claimed in any one of claims 1 to 12,
  30 characterised in that said parameter is the
  temperature of said wavelength selective element.
  - 13. A method as claimed in any one of claims 1 to 12, characterised in that said parameter is an electrical injection current into said wavelength selective element.
- 14. A method as claimed in any one of claims 1 to 12, characterised in that said parameter is a mechanical movement of an optical element associated with said wavelength selective element.

5	15. A wavelength control arrangement for controlling the wavelengths of channels utilised in an optical WDM link including
10	a wavelength selective element (50) for receiving a combined optical signal including a plurality of optical channels launched by optical transmission means (10, 110) and adapted to separate at least two optical channels according to wavelength,
15	monitoring means (60, 70) for detecting optical signals on said channels output from said wavelength selective element (50), and
20 .	means (90) for regulating a parameter capable of influencing wavelengths selected by said wavelength selective element (50),
	characterised by
25	control means (100) arranged to communicate with said regulator (90) and said monitoring means (70) and adapted
30	to determine a parameter mean value of said wavelength selective element (50) corresponding to an average of parameter values for each channel relative to a starting parameter value of said wavelength selective element (50) at which the output power of said channel is a maximum,
35	and the maximum,
	to determine a wavelength drift on the basis of said parameter mean value
	and to generate at least one control signal for
40	rectifying wavelength.

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- 16. An arrangement as claimed in claim 16, characterised in that said control means (100) are adapted to determine two parameter values associated with said wavelength selective element (50) for each channel at which the output power of said channel falls below a predetermined level and to calculate said parameter mean value from the two parameter values for each channel.
- 17. An arrangement as claimed in claim 16 or 17,
  characterised in that said control means (100)
  comprise processing means for determining the
  magnitude and source of said wavelength drift.
- 18. An arrangement as claimed in any one of claims 16 to
  18, characterised in that said wavelength selective
  element (50) is an arrayed waveguide grating (AWG).
  - 19. An arrangement as claimed in any one of claims 16 to 19, characterised in that said control means (100) are adapted to communicate with said optical transmission means (10) to alter a launched wavelength using said at least one control signal.
- 20. An arrangement as claimed in any one of claims 16 to
  20, characterised in that a regulator (130)
  associated with a laser (110) in said transmission
  means (10) is adapted to vary a wavelength
  influencing parameter of said laser (110) in response
  to at least one control signal from said control
  means (100).
  - 21. An arrangement as claimed in any one of claims 16 to 21, characterised in that said regulating means (90) are adapted to vary said parameter of said wavelength selective element (50) in response to at least one control signal from said control means (100).

- 22. An arrangement as claimed in any one of claims 16 to 22, characterised in that said control means (10) are adapted to communicate with at least one of said transmission means (10) and said regulating means (90) and monitoring means (70) via a control channel
  - 23. An optical WDM link comprising a wavelength control arrangement as claimed in any one of claims 13 to 23.

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(150).

# **PCT**

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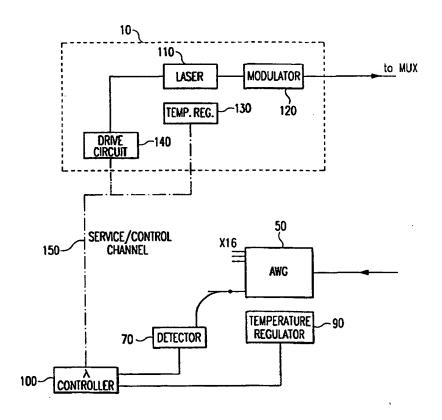
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(54) Title: WAVELENGTH CONTROL IN OPTICAL WDM SYSTEMS

#### (57) Abstract

Wavelength drift in an optical WDM system between wavelengths launched by lasers (110) and received at a demultiplexer (50) can lead to disturbance of traffic signals if not identified and rectified rapidly. It is proposed to identify wavelength drift by determining a difference in temperature of the demultiplexer (50) for each channel between an actual temperature and a temperature for optimal transmission of the channel. The mean of these temperature differences for all channels is indicative of wavelength drift, while each difference is utilised to determine whether an individual channel is drifting in wavelength and to correct the drift. Wavelength drift can be detected and corrected whether sourced at a laser (110) or due to a temperature variation at the demultiplexer (50). Measurement and control can be performed during normal operation without impeding or degrading traffic flow. Wavelength influencing parameters other than temperature can be utilized.



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# Wavelength control in Optical WDM systems

#### 1. Field of the Invention

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The invention relates to wavelength division multiplexed optical communication systems and, in particular, to the measurement and control of wavelengths transmitted by an optical transmission source and received by an optical wavelength selective element.

### 2. Background Art

Ιn wavelength division multiplexed (WDM) communication systems, a single fibre optic cable carries a plurality of optical signal channels, each channel being assigned a particular carrier wavelength. signal channels are generated using wavelength specific lasers. These channels are then coupled to the traffic fibre using an optical combiner or multiplexer and sent to the next node in the system, possibly via a number of optical amplifiers. At the receiving node, the different wavelengths are filtered out in a demultiplexer and are sent to a respective receiver where they are converted to electrical signals and relayed to further systems or networks.

In the demultiplexer, individual optical channels must be selected from the multiplexed optical signal. To ensure that an optical signal is properly selected, the carrier wavelength launched by the laser transmitter accurately match the wavelength selected in the demultiplexer. Although the lasers are generally very stable in terms of wavelength, erroneous operation can

lead to wavelength drift in an individual channel over time. Similarly, the wavelengths of the demultiplexer passbands can drift. It is important that this wavelength drift is detected and corrected before the channel has deteriorated so much that traffic is disturbed in the channel itself as a result of attenuation, and in neighbouring channels by crosstalk. This is particularly important for dense WDM systems wherein the wavelength spacing between channels is very small, often of the order of a nanometer.

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A technique for dynamically stabilising a wavelength selective element in a WDM system is described in US-A-5 This document describes that a wavelength 129. reference is used to stabilise the output wavelength of a transmission laser while the reflection wavelength of a Bragg grating used as a wavelength selective element at the receiving end of the system is dynamically adjusted to obtain the maximum reflected optical signal and so accurately correlate the Bragg grating to the corresponding transmitted wavelength. The adjustment of the Bragg grating reflection wavelength is obtained by temperature tuning or adjustment of the amount physical tension applied to the Bragg grating.

30 While this arrangement ensures the accurate correlation of the wavelength selective element to the transmitted wavelength, an extreme drift in wavelength individual laser will not be corrected and could ultimately lead to crosstalk between adjacent channels. 35 Furthermore, the need for a wavelength reference for each laser necessitates the provision of a relatively large number of potentially costly components.

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In an alternative embodiment described in the same patent, the temperature of the Bragg grating is held constant and the signal reflected at the grating is fed back to the transmitting laser and used to dynamically tune the laser to the reflected wavelength by adjustment of the laser temperature. However, the provision of a stable temperature environment for the Bragg grating without recourse to adjustment on the basis of variations in the reflected wavelength is difficult to implement and is dependent on the reliability of normally electrical heating and cooling elements.

In the light of the disadvantages associated with the prior art it is an object of the present invention to provide an arrangement and procedure for controlling the wavelengths of channels in an optical WDM system which is reliable, simple and inexpensive in its implementation.

## SUMMARY OF THE INVENTION

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25 To control the wavelengths of channels transmitted by one or more optical sources and received by a wavelength selective element, the present invention proposes method wherein at the receiving end a value of wavelength influencing parameter of the wavelength 30 selective element that enables the best reception of the channel is determined. This value is then utilised to ascertain whether the wavelengths used in the link have drifted. This parameter value associated with the channel centre wavelength is accurately located by determining 35 two parameter values at which the output power drops by a predetermined amount, and then calculating the central value. When the parameter values are difference values relative to a nominal starting value, the mean averaged over all channels serves as an indicator of wavelength

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drift in the link. By determining the proportion of channels demonstrating wavelength drift, both the source and magnitude of the wavelength drift can be ascertained and corrected either by adjusting the parameter value of the wavelength selective element or by adjusting the wavelength launched by one or more lasers. A wavelength control arrangement for use in an optical WDM according to the invention is characterised by control means that communicate with a parameter regulator of the wavelength selective element that is adapted to regulate a wavelength influencing parameter and with means that monitor the output power of the wavelength selective element. The control means are furthermore coupled to a regulator adapted to regulate a wavelength influencing parameter of a laser and laser drive circuit and are adapted to determine the magnitude and source of wavelength error and subsequently control one or both of wavelengths launched by the lasers wavelengths received by the wavelength selective element.

Advantageously, the method and arrangement according to the present invention permit wavelength drift to be both detected and corrected whether caused by one or more malfunctioning lasers or by the wavelength selective element when the parameter utilised is temperature, wavelength drift at the wavelength selective element could, for example, result from the deterioration of associated electrical temperature regulating elements. Furthermore, the method obviates the need for permanent wavelength references at the optical sources or lasers, nevertheless permits wavelength drift determined and corrected with high precision. The control measurement can be performed entirely at the receiving end of the link without impeding or degrading normal traffic flow. A further advantage of the method and

arrangement according to the present invention is that the division of the channels received by the wavelength selective element does not need to precisely match the transmitted wavelengths. The best average power for all channels can be defined and maintained using the method and arrangement according to the invention.

# BRIEF DESCRIPTION OF THE DRAWINGS

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Further objects and advantages of the present invention will become apparent from the following description which describes the preferred embodiments by way of example with reference to the accompanying drawings in which:

Fig. 1 schematically depicts a 16 channel optical wavelength division multiplexed system,

Fig. 2 schematically shows the control system for controlling matching of wavelength between the transmitting optical sources and the demultiplexer filter,

Fig. 3 shows the typical transmission characteristics of an arrayed waveguide grating utilised as a demultiplexer filter, and

Figs. 4 and 5 show flow diagrams of the procedure for determining and correcting wavelength shift between optical source lasers and the demultiplexer filter.

# 5 DETAILED DESCRIPTION OF THE DRAWINGS

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The WDM link depicted in Fig. 1 includes a plurality of WDM transmitters 10, each adapted to transmit data signals modulated on a specific transmission wavelength. The transmitters 10 each comprise a wavelength specific laser 110 (see Fig. 2) for launching the carrier wavelength. The multiple channels are coupled to a traffic cable 30 by a multiplexer 20 and are sent to the receiving node possibly via a number of amplifiers 40 if the distance between the nodes is large.

At the receiving node, the channels are split by a demultiplexer filter 50. In the exemplary embodiment the demultiplexer filter is an arrayed waveguide grating (AWG) in silicon dioxide on silicon (SiO2 on Si), however it will be understood that other materials and also alternative wavelength selective elements may be employed. The divided channels are then passed on individual cables to corresponding WDM receivers 80, of which only one is illustrated here for convenience.

The light signals of the individual channels output from the demultiplexer filter 50 are also monitored using detectors 70. One detector 70 only is illustrated in the figure for clarity, however, it will be understood that a detector 70 will typically be coupled to each outgoing channel. Alternatively, a single detector could monitor the light signals from all outgoing channels in sequence. The detectors 70 can be any optical detector that converts an optical signal into electrical energy such as a PIN diode detector, and are typically coupled to the optical transmission line using optical taps 60 that divert a small portion of the incident power towards the associated detector 70.

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The components of the wavelength control system are shown in Fig. 2. In this figure like reference numerals have be used for like elements shown in Fig. 1. The elements include, at the receiving end of the optical link shown in the lower half of Fig. 2, the demultiplexer filter constituted by an arrayed waveguide grating (AWG) filter 50, the detectors 70 coupled to each outgoing channel of the AWG filter 50 by a respective optical tap 60 (here again only one detector 70 and fibre tap illustrated for convenience), a temperature regulator 90 associated with demultiplexer filter the wavelength controller 100. The temperature regulator 90 is a device for varying the temperature of the AWG filter 50 and may comprise a heater, a cooler or a combination the two, including, but not limited to, resistive heaters and thermoelectric coolers.

The wavelength controller 100, which typically comprise a microprocessor with associated memory, coupled to the output of the detectors 70 and the temperature regulator 90. The controller 100 is likewise coupled to each transmitter 10 of the optical link, only which is illustrated here, via a service or control channel 150 indicated by a dashed-dotted line in 2. In each transmitter 10, the controller 100 communicates laser drive circuit with a 140, supplies bias current to a laser 110 and with a laser temperature regulator 130. The laser is typically a distributed feedback laser (DFB) although it will be other types that of laser can also utilised. The laser temperature regulator incorporates a thermal/cooling element, such as a Peltier element or the like, for varying the temperature of the laser and accordingly adjusting the emitted wavelength. Ιn

alternative laser types the emitted wavelength may be controlled by adjusting electrical current to the laser or by the mechanical movement of optical elements, for example to increase or reduce strain. It will therefore to be understood that appropriate means of adjustment can be provided to an alternative laser in place of the arrangement described with reference to the figures. The transmitter 10 further includes a modulator 120 for modulating information data on the carrier signal.

It should be noted that while in Fig. 2 the controller 100 is shown disposed at the receiving end of the optical link it may also be placed at the transmitting end, in which case it would communicate with the detectors 70 and the temperature regulator 90 at the receiving end via the service channel 150. Alternatively the controller 100 may be located remote from both ends of the link.

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A typical transmission characteristic of a demultiplexer filter 20 suitable for use in an optical WDM link is shown in Fig. 3. In the example shown, the passband wavelengths correspond to the International Telecommunications Union (ITU) standard wavelengths defined in the 1500 nm telecoms window. It is possible to adjust the passband wavelengths of the filter 20 by varying the demultiplexer temperature. For an AWG filter in SiO2 on Si, the variation in passband wavelength is of the order of 0.012nm per degree Celsius. Since the transmission of the demultiplexer is wavelength dependent, the signal power to each detector 70 will vary with the temperature of the demultiplexer. It is possible to determine the temperature accurately, and in this way to indirectly measure the wavelengths of the incoming channels relative to another. Specifically, one centre wavelength of a transmitted channel is ascertained

by determining the temperature of the demultiplexer filter 50 at which this wavelength is transmitted. In this manner both wavelength drift of one or more individual channels and temperature variation in the demultiplexer can be detected accurately.

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While the embodiment shown in the figures and described applied to the case wherein the passband wavelengths of the demultiplexer filter 50 vary with temperature, it will be understood that demultiplexer filters may be utilized which have passband wavelength dependent on other parameters, including, but not limited to electrical injection current or mechanical movement of optical elements. With such a device the determination and measurement wavelength drift will be achieved by varying the appropriate wavelength influencing parameter demultiplexer filter 50. Accordingly the temperature regulator 90 of the demultiplexer filter 50 replaced, or supplemented by an appropriate regulator or regulators for varying the parameter of interest. A similar parameter regulator can be employed at transmitter 10 for adjusting the wavelength of the laser in place of, or in addition to the temperature regulator 130.

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The method for controlling wavelength using temperature adjustment is described below. It should be noted that for devices with wavelength influencing parameters other than temperature an analogous method could be used.

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Prior to operating the link the lasers are first adjusted to the desired nominal wavelengths. In an optical WDM network the nominal wavelengths preferably conform to the ITU standard for the 1500nm telecoms window. The

5 adjustment is effected using a well calibrated external measuring instrument such as an optical wavelength meter or the like. Since the division of the demultiplexer filter 50 channels may not exactly match predetermined nominal wavelengths, it may not be possible 10 obtain maximum power for all channels demultiplexer filter 50. To adjust for this eventuality, the feedback loop constituted by the controller 100, the temperature regulator 90 and the detectors 70 is used to set the temperature of the demultiplexer filter 50 to 15 obtain the optimal mean output power from all utilised channels. To this end, the controller 100 performs an appropriate step algorithm which adjusts the temperature of the wavelength selective element until the mean output power from all channels is optimised. Note that the mean 20 output power need not be the median of the individual output powers, but could be weighted to ensure that no individual channel falls below a predetermined threshold level. It should be noted that in the following method the number of channels is indicated by n. 25 embodiment illustrated in Figs. 1 and 2, therefore, n goes from 1 to 16.

> both the nominal wavelengths and the temperature have been defined and fixed, the controller calculates the initial variance (IVn) channel. This value corresponds to the difference between temperature of the selective element transmits the optimum mean power of all channels and its temperature when it transmits a single channel optimally. The initial variance value (IVn) for each channel is obtained using the procedure A illustrated in Fig. 4. In 401 the starting temperature of the wavelength selective element, which in this case is the temperature for optimal average transmission of all

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5 wavelengths, and the power level of each channel The starting temperature may be an absolute temperature value, but it is preferable that temperature be set to a nominal value, e.q. temperature of the demultiplexer filter 50 is incremented in step 402. In step 403 the power level of each channel 10 at the output of the demultiplexer filter 50 is compared with the initial output power. If it has fallen below 0.5dB, the temperature is stored (step 405) if not, the method returns to step 402 and the temperature of the 15 demultiplexer filter is 50 incremented again. continues until the power levels of all channels have fallen below the 0.5dB level and the corresponding temperatures of the demultiplexer 50 is stored. practice the stored temperatures will be quantized values 20 corresponding to the number of temperature increments. The demultiplexer filter 50 is then returned starting temperature in step 405. In step 406, the of the demultiplexer filter 50 is decremented. In step 407 the output power level of each 25 channel is measured and compared with the initial power level to determine whether it has dropped by 0.5dB. If not, the method returns to step 406, otherwise, corresponding temperature is stored. This continues until two temperature values (DHn and DLn) corresponding to the 30 -0.5dB power levels have been determined channels. The mean IVn of these two values (DHn, DLn) for each channel computed in step 409 then corresponds to the difference in temperature of the demultiplexer filter 50 for transmitting the mean optimal power of all channels 35 and the optimal power of the channel in question when the channels are tuned to the predetermined nominal wavelengths. By inference, this mean variance value IVn likewise corresponds to the initial wavelength error for each channel. The mean value IVn is then stored for each

5 channel in the controller 100 for use in the subsequent wavelength checks.

When the temperature values (DHn, DLn) are difference values relative to starting temperature, the providing the centre wavelength of the filter 50 lies within the 0.5dB levels of the actual launched channel, one value DHn will be positive and the other negative. Accordingly if the launched centre wavelength is exactly equal to the centre filter wavelength, the initial variance value IVn will be zero. Note that since the temperature of the demultiplexer filter 50 has been optimal average output adjusted for power channels, the mean of these variance values IVn for all channels will be zero at this stage.

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The initial starting temperature of the demultiplexer 50 determined as described above is the ideal operating temperature and is consequently maintained conventional electrical thermal and cooling elements and a suitable control circuit which is not shown. With time, however, these electrical elements may deteriorate, causing the real temperature of the demultiplexer filter 50 to vary and hence the passbands of the filter 50 to in wavelength. Errors leading to in wavelength may also arise in individual lasers 110.

Hence, during operation of the optical WDM link the correlation between the launched wavelengths and the wavelengths transmitted through the demultiplexer filter 50 is checked at regular intervals using the procedures laid out in Figs. 4 and 5. Firstly, steps 401 to 409 of procedure A are followed as described above with, in this case, the starting temperature being the actual temperature of the demultiplexer filter 50 at the time of

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measurement, and the mean of the difference values DHn and DLn being a channel mean value MCDn, i.e. the mean of. the difference values DHn and DLn for each channel relative to the actual temperature. The method then goes on to procedure B shown in Fig. 5. In step 501 the average MD of all channel mean values MCDn is calculated. This average value is computed on the same basis as the average output power of all channels accordingly may be weighted if the initial distribution of channel wavelengths in the AWG filter rendered this necessary. Accordingly if no wavelength drift occurred on the link, i.e. if the wavelengths launched by the lasers 110 and the temperature of the demultiplexer filter 50 are unchanged, the average mean MD will be zero. In this case the comparison in step 502 results in an answer YES and the procedure is terminated. However, if this value is not equal to zero, wavelength drift must have occurred, as a result of an error either in one or lasers or the temperature regulation of demultiplexer filter 50, or a combination of both of these. The procedure then continues in step 503, where for each channel the initial variance value IVn compared with the determined mean value MCDn. This step determines the number of individual channels wavelength has varied with respect to the initial value. The sum of these comparison results which deviate from zero is then compared with a predetermined value P step 504 to determine the proportion of channels which have varied with respect to the initial settings. Since it is unlikely that all lasers 110 will fail simultaneously, a majority of deviating wavelengths will indicate that the temperature of the demultiplexer filter 50 has altered. Accordingly, The P is selected to represent a failure the majority of the channels used, or at least in the

proportion of the used channels which statistically are unlikely to fail simultaneously. It may not be necessary to perform the comparison of step 503 for all channels. If at least a predetermined number of comparisons is performed, this will enable the accurate determination of how widespread any wavelength drift is, and accordingly give an indication as to whether the temperature of the lasers 110, the demultiplexer filter 50 or both need adjusting to correct the wavelength.

15 If fewer channels than P have drifted from the initial wavelengths, then the method turns to step 505 where, for each channel, the channel mean values MCDn are used to correct the wavelengths launched by the corresponding lasers 110, preferably by altering the temperature using 20 the regulator 130. Conversely, if the result comparison in step 504 is YES, the method continues to step 506 where the common deviation of the channels is determined. This value is then used in step correct the temperature of the demultiplexer filter 50. 25 Once the error caused by the demultiplexer filter 50 has corrected. the channel mean values MCDn corrected in step 508 by subtracting the common value determined in step 506. The corrected MCDn values are then used in step 505 to correct the wavelengths launched 30 by the lasers, if necessary.

This procedure can, for example, be performed once every month since it is primarily adapted to detect long variations in wavelength. The procedure can also be carried out during normal traffic operation without deterioration of payload traffic. To this end, the temperature increments used in method A in Fig. 4 are selected to obtain a reasonable variation in wavelength of the light signals transmitted by the demultiplexer

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filter without unduly attenuating the received signals or provoking crosstalk in adjacent channels. For example, for an AWG demultiplexer filter in SiO<sub>2</sub> on silicon, increments of 1 °C resulting in a stepwise variation in transmitted wavelength of 0.012nm is acceptable. It should further be noted that the output power reduction of 0.5dB is also given only by way of example. This value is similarly chosen to permit accurate but easily measurable wavelength variations without disturbance to traffic by attenuation or crosstalk.

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In an alternative embodiment of the invention steps 503 and 504 in the method B of Fig. 5 are replaced by a single step wherein the mean variation for all channels MD is compared with a predetermined fixed value. This value is selected according to the number of channels utilised and relies on the fact that a wavelength drift due to a variation in temperature of the demultiplexer filter 50 will result in a total mean variation n times as large as the same drift in a single laser when n channels are used. Since it is highly improbable that one or more lasers will vary in wavelength to a degree which results in the same mean value, or that their wavelengths vary to an extent that cancels out a variation caused by the demultiplexer filter temperature, a predetermined fixed value can be selected to provide a reasonably accurate gauge as to the source of the wavelength drift.

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In a further embodiment of the invention, the processing step 508 can be omitted and in its place the whole method starting from step 401 of procedure A be repeated. Since the drift caused by a temperature variation in the demultiplexer has been corrected, a repeat of the whole

5 method will result in the correction of the wavelengths launched by the lasers, if necessary.

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The aforementioned method is particularly well adapted for use in an optical WDM system where pre-defined wavelengths are used, however, it also has application in optical WDM point-to-point links where the standards laid down for wavelengths need not be respected. In such a point-to-point link, the method described with reference to Fig. 4 can be used to accurately match the wavelengths launched by the lasers 110 to the wavelength division of the demultiplexer filter 50 and so enable optimal transmission over all channels.

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#### CLAIMS

A method for controlling the wavelength of a plurality of channels launched by optical transmission means and received by at least one wavelength selective element in an optical WDM link, the method including:

noting a starting value of a wavelength influencing parameter of said wavelength selective element,

for each channel, determining a channel centre value (MCDn) of said parameter of said wavelength selective element at which the output power of said channel is a maximum,

utilising said channel centre values (MCDn) to determine a deviation between said launched wavelengths and wavelengths selected by said wavelength selective element and to correct said wavelength deviation at at least one of said wavelength selective element and said optical transmission means.

2. Method as claimed in claim 1, wherein determining said channel centre values includes

for each channel, determining a first parameter value (DHn) of said wavelength selective element relative to said starting parameter value at which the power of said channel output from said wavelength selective element falls below a predetermined level,

for each channel, determining a second parameter value (DLn) of said wavelength selective optical element

relative to said starting value at which the power of said channel output from said wavelength selective optical element falls below said predetermined level, and

for each channel, determining a channel mean value (MCDn) corresponding to the average of said first and second parameter values.

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- 3. A method as claimed in claim 2, wherein said first and second parameter values are difference values (DHn, DLn) relative to said starting value.
- 4. A method as claimed in any one of claims 1 to 3, including calculating a mean value (MD) corresponding to the average of said channel centre values (MCDn) for all channels, and

utilising said mean value (MD) as an indicator of wavelength drift in said optical link and to adjust a deviation between said launched wavelengths and wavelengths selected by said wavelength selective element in said channels.

5. Method as claimed in claim 4, including utilising said channel centre values to determine the proportion of channels which manifest a drift in wavelength relative to the total number of channels, and

utilising said mean value (MD) to adjust a wavelength influencing parameter of said wavelength selective element when said proportion exceeds a predetermined amount.

6. A method as claimed in any one of claims 1 to 5, including:

for each of at least a predetermined number of channels comparing said channel centre value (MCDn) with a predetermined channel variance value (IVn) to obtain a difference value (Dn) indicative of a wavelength shift in said channel.

- 7. A method as claimed in claim 6, including determining the proportion of said channels which demonstrate a wavelength drift by summing the difference values (Dn) that deviate from zero for at least a predetermined number of channels.
- 8. A method as claimed in claim 6 or 7, including setting said predetermined channel variance value (IVn) as a difference between a value of said parameter of said wavelength selective element at which the output power of said channel having a predetermined nominal channel wavelength is optimised and a value of said parameter of said wavelength selective element at which the average output power of all channels having predetermined nominal wavelengths is optimised.
- 9. A method as claimed in any one of claims 6 to 8, including:

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prior to operation of said optical link, setting the wavelengths of the optical transmission sources to predetermined nominal wavelengths,

setting said wavelength selective element to a nominal parameter value at which the output power of all said channels is optimised,

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for each channel, determining a first value of said parameter of said wavelength selective element relative to said nominal value at which the power of said channel output from said wavelength selective element falls below a predetermined level,

for each channel, determining a second parameter value of said wavelength selective optical element relative to said nominal value at which the power of said channel output from said wavelength selective optical element falls below said predetermined level,

for each channel determining the mean of said first and second parameter values, and

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for each channel, utilising said mean as said predetermined channel variance value (IVn).

- 10. A method as claimed in one of claims 6 to 9, including utilising said difference values (Dn) to adjust a wavelength influencing parameter of said wavelength selective element.
- 11. A method as claimed in one of claims 6 to 9, including for each channel utilising said difference value (Dn) to correct the wavelength launched by said optical transmission means.
- 12. A method as claimed in any one of claims 3 to 11, wherein said mean value (MD) is a weighted average of said first and second parameter values for all channels.

13. A method as claimed in any one of claims 1 to 12, characterised in that said parameter is the temperature of said wavelength selective element.

- 14. A method as claimed in any one of claims 1 to 12, characterised in that said parameter is an electrical injection current into said wavelength selective element.
- 15. A method as claimed in any one of claims 1 to 12, characterised in that said parameter is a mechanical movement of an optical element associated with said wavelength selective element.
- 16. A wavelength control arrangement for controlling the wavelengths of channels utilised in an optical WDM link including
  - a wavelength selective element (50) for receiving a combined optical signal including a plurality of optical channels launched by optical transmission means (10, 110) and adapted to separate at least two optical channels according to wavelength,
  - monitoring means (60, 70) for detecting optical signals on said channels output from said wavelength selective element (50), and
    - means for regulating a wavelength influencing parameter (90) associated with said wavelength selective element (50) for regulating said parameter of said wavelength selective element,

characterised by

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control means (100) arranged to communicate with said regulator (90) and said monitoring means (70) and adapted to determine a parameter value of said wavelength selective element (50) for each channel relative to a starting parameter value of said wavelength selective element (50) at which the output power of said channel is a maximum, to determine a wavelength drift on the basis of said parameter values and to generate at least one control signal for rectifying wavelength.

17. An arrangement as claimed in claim 16, characterised in that said control means (100) are adapted to determine two parameter values associated with said wavelength selective element (50) for each channel at which the output power of said channel falls below a predetermined level.

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- 18. An arrangement as claimed in claim 16 or 17, characterised in that said control means (100) comprise processing means for determining the magnitude and source of said wavelength drift.
- 19. An arrangement as claimed in any one of claims 16 to 18, characterised in that said wavelength selective element (50) is an arrayed waveguide grating (AWG).
- 20. An arrangement as claimed in any one of claims 16 to 19, characterised in that said control means (100) are adapted to communicate with said optical transmission means (10) to alter the launched wavelength using said at least one control signal.
- 21. An arrangement as claimed in any one of claims 16 to 20, characterised in that a regulator (130) associated with a laser (110) in said transmission means (10) is

adapted to vary a wavelength influencing parameter of said laser (110) in response to at least one control signal from said control means (100).

- 22. An arrangement as claimed in any one of claims 16 to 21, characterised in that said regulating means (90) are adapted to vary said parameter of said wavelength selective element (50) in response to at least one control signal from said control means (100).
- 23. An arrangement as claimed in any one of claims 16 to 22, characterised in that said control means (10) are adapted to communicate with at least one of said transmission means (10) and said regulating means (90) and monitoring means (70) via a control channel 150.
- 24. An optical WDM link comprising a wavelength control arrangement as claimed in any one of claims 13 to 23.

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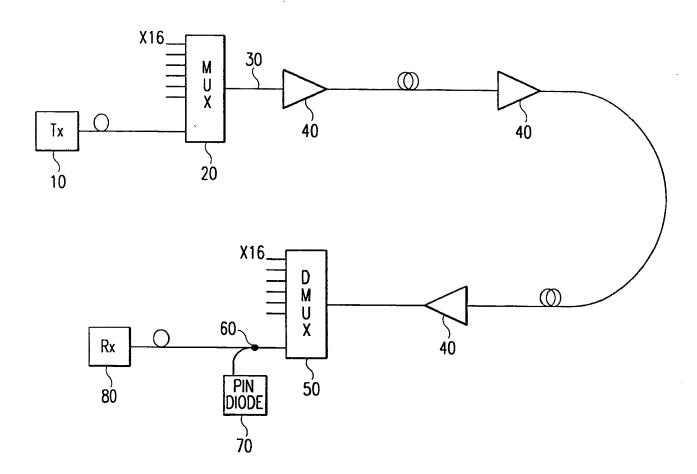
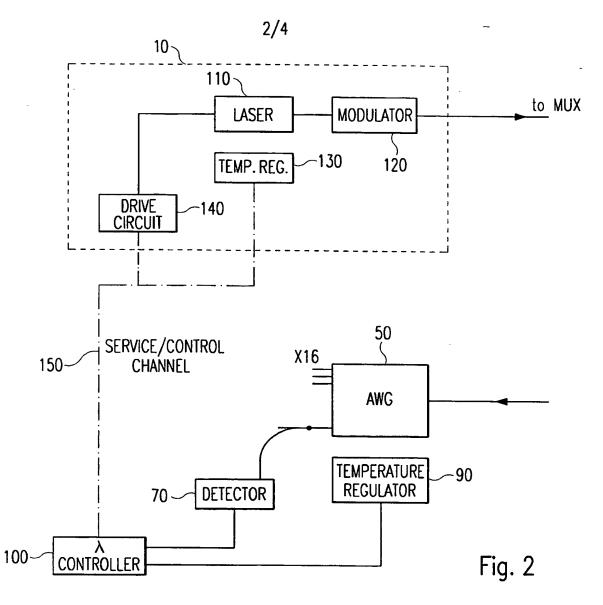
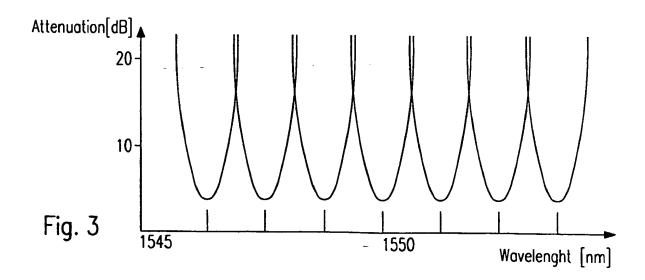


Fig. 1





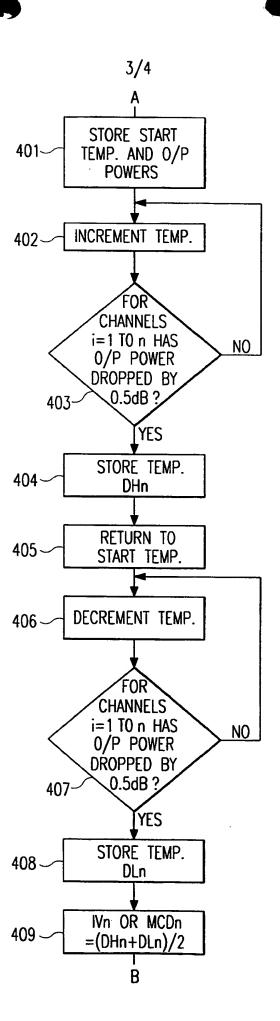
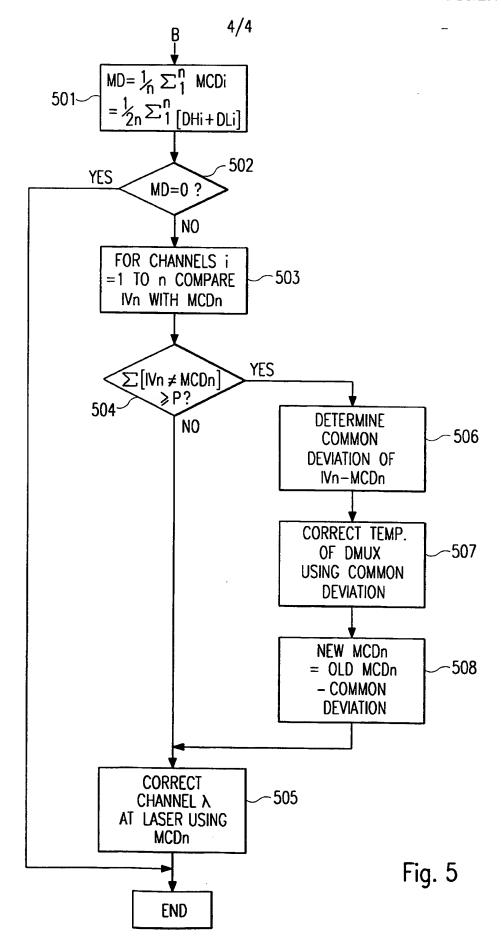


Fig. 4



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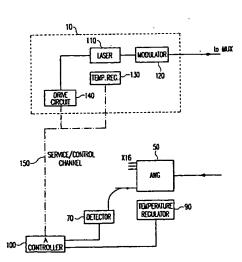
[Continued on next page]

(54) Title: WAVELENGTH CONTROL IN OPTICAL WDM SYSTEMS

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(57) Abstract: Wavelength drift in an optical WDM system between wavelengths launched by lasers (110) and received at a demultiplexer (50) can lead to disturbance of traffic signals if not identified and rectified rapidly. It is proposed to identify wavelength drift by determining a difference in temperature of the demultiplexer (50) for each channel between an actual temperature and a temperature for optimal transmission of the channel. The mean of these temperature differences for all channels is indicative of wavelength drift, while each difference is utilised to determine whether an individual channel is drifting in wavelength and to correct the drift. Wavelength drift can be detected and corrected whether sourced at a laser (110) or due to a temperature variation at the demultiplexer (50). Measurement and control can be performed during normal operation without impeding or degrading traffic flow. Wavelength influencing parameters other than temperature can be utilized.



For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.

IPC 7 H04B10/14 H04B10/158 H04J14/02 H04B10/145 According to International Patent Classification (IPC) or to both national classification and IPC B. FIELDS SEARCHED Minimum documentation searched (classification system followed by classification symbols) H04B H04J H01S Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched Electronic data base consulted during the international search (name of data base and, where practical, search terms used) C. DOCUMENTS CONSIDERED TO BE RELEVANT Category • Citation of document, with indication, where appropriate, of the relevant passages Relevant to claim No. X PATENT ABSTRACTS OF JAPAN 1,2,13, vol. 097, no. 008, 14,16, 17,24 29 August 1997 (1997-08-29) & JP 09 093223 A (CANON INC), 4 April 1997 (1997-04-04) abstract Α PATENT ABSTRACTS OF JAPAN 14 vol. 095, no. 009, 31 October 1995 (1995-10-31) & JP 07 162070 A (CANON INC), 23 June 1995 (1995-06-23) abstract Further documents are listed in the continuation of box C. Patent family members are listed in annex. Special categories of cited documents: 'T' later document published after the International filling date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the \*A\* document defining the general state of the art which is not considered to be of particular relevance earlier document but published on or after the international "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone filing date "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified) "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such docu-ments, such combination being obvious to a person skilled in the art. \*O\* document referring to an oral disclosure, use, exhibition or document published prior to the international filing date but later than the priority date claimed "&" document member of the same patent family Date of the actual completion of the international search Date of mailing of the international search report 18 October 1999 25/10/1999 Name and mailing address of the ISA European Patent Office, P.B. 5818 Patentiaan 2 NL - 2280 HV Rijswijk Tel. (+31-70) 340-2040, Tx. 31 651 epo nl, Fax: (+31-70) 340-3016 **Authorized officer** Traverso, A Form PCT/ISA/210 (second sheet) (July 1992)

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In tional Application No
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